

SR FOCI SUBMISSION PACKAGE

RFP/Contract #:

Start Date: _____

End Date: _____

_____ of Options for _____ Years

_____ <i>Respondent's (offeror or parent) Legal Identity</i>	_____ <i>Relationship of Respondent to Offeror</i>
_____ <i>Respondent's Principle Address</i>	_____ <i>State of Incorporation and Full Date</i>
_____ <i>Official Designated to Answer Questions Concerning this Information</i>	_____ <i>Telephone Number</i>

Does your company (to include Tier Parents) have a current FOCI determination issued or presently pending by any Department Of Energy (DOE)/Department Of Defense (DOD) field office? Yes ____ No ____

If "yes", identify field office and date of prior FOCI Certificate Pertaining to Foreign Interests, cage code, sign and date below, and return to SR procurement representative. _____

NOTE: A separate form is required for each tier parent.

If "no", the following documents must be returned as a part of this FOCI Submission Package:

- | | |
|--------------------------|---|
| <input type="checkbox"/> | This cover sheet. |
| <input type="checkbox"/> | Statements of Bidders/Offerors. |
| <input type="checkbox"/> | Certificate Pertaining to Foreign Interests (SF328). |
| <input type="checkbox"/> | Key Management Personnel Form (KMP) to include Facility Security Officer. |
| <input type="checkbox"/> | Representative of Foreign Interest Statement Form(s). |
| <input type="checkbox"/> | Publicly Traded Corporations: Annual Report, most recent SEC Forms 10K, and proxy statement. |
| <input type="checkbox"/> | Private Corporations: Current audited consolidated financial information. |
| <input type="checkbox"/> | Partnership: Partnership Agreement and current audited consolidated financial information. |
| <input type="checkbox"/> | Corporations: Copy of Certificate of Incorporation and Articles of Incorporation to include all amendments. |
| <input type="checkbox"/> | Corporations: Attested copy of Corporate By-Laws to include all amendments. |
| <input type="checkbox"/> | Other: _____ |
| <input type="checkbox"/> | Other: _____ |

Type of business structure: Private Corporation Limited Partnership Sole Proprietorship
Public Corporation General Partnership Other: _____

List Legal Identities of Parent Companies (all tiers) - if more than one tier company exists, tier rankings must be identified. **(The offeror's submission must include, as a separate attachment, a complete FOCI submission for each tier parent.)**

Rank	Legal Name
_____	_____
_____	_____
_____	_____
_____	_____

YES	NO	Has your organization changed or used other names during the last 10 years? If yes, attach a complete listing of all name changes, and names used (including "DBA's"), indicating applicable periods.
<input type="checkbox"/>	<input type="checkbox"/>	
<input type="checkbox"/>	<input type="checkbox"/>	Has your organization changed principle locations during the last 10 years? If yes, attach a complete listing of all principle address locations during the last 10 years, indicating applicable periods.

I understand that the information provided is required to aid the DOE in identifying and mitigating factors of foreign ownership, control, and influence over my company as prescribed by DOE Order 470.4 and DOE M 470.4-1. I understand that failure to submit complete and correct information and documentation responsive to the attached "Guidelines for Completing the FOCI Package/Certification" may preclude contract eligibility and furthermore, that intentional omission or falsification of information relative to a FOCI submission constitutes a felony criminal violation of 18 USC 1001 providing for penalties including fines up to \$10,000 and/or imprisonment up to 5 years.

Official verifying submitted information as complete and correct:

Typed or Printed Name and Signature

Title of Authorizing Official (KMP)

Date Signed